DOCUMENT RESUME

ED 183 081 HE 012 335

AUTHOR Lunney, Gerald H.; Watters, Eric D.
TITLE The Independent Sector and Statewide Planning for Higher Education: Some Policy Considerations for the 1980s.
INSTITUTION Kentucky Council of Independent Colleges and Universities, Danville.
PUB DATE 80
NOTE 18p.; For related documents, see HE 012 336-337
AVAILABLE FROM Council of Independent Kentucky Colleges and Universities, Danville, KY 40422

EDRS PRICE MF01/PC01 Plus Postage.
DESCRIPTORS Administrative Policy; Data Analysis; *Data Bases; Data Collection; Government School Relationship; Higher Education; *Management Information Systems; Policy Formation; *Private Colleges; *Professional Associations; Program Descriptions; State Government; *Statewide Planning
IDENTIFIERS Kentucky; National Center for Higher Education Management; *State Level Information Base

ABSTRACT

The policy implications of the State Level Information Base (SLIB) project of the National Center for Higher Education Management was examined by the Council of Independent Kentucky Colleges and Universities. The original purpose of the SLIB project was to develop a comprehensive and coordinated set of data elements that could serve each state's higher education agency in its planning activities. The Kentucky project was designed to determine the relevance of the externally developed data system for independent colleges and to develop procedures for including the independent sector in any planning activities that would take place in the states as their higher education agencies implemented SLIB. Two other components were: a national panel of experts who could provide a wide perspective and represent concerns beyond Kentucky: and a state task force which would ultimately provide the institutional planning data to the state agency. The final product of the SLIB project has not been a set of data elements that states could adopt but rather a framework for statewide planning. It was concluded that independent colleges and universities, through their state associations, must develop data analysis and planning capacity that is free-standing from governmental agencie. The state associations' proposed brokerage function is described in appended material. Recommendations are made concerning the role of independent institutions in statewide planning, provisions for policy review of data requests, the coordination of governmental data requests and specifications of the list and form of data elements. (SW)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

ED183081

Council of Independent Kentucky Colleges and Universities

Danville, Kentucky 40422

Telephone 606/236-3533

"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY

Council of Independent Ky Colleges & Univ.

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION

THIS DOCUMENT HAS BEEN REPRODUCED EXACTLY AS RECEIVED FROM THE PERSON OR ORGANIZATION ORIGINATING IT. POINTS OF VIEW OR OPINIONS STATED DO NOT NECESSARILY REPRESENT OFFICIAL NATIONAL INSTITUTE OF EDUCATION POSITION OR POLICY

HE 012 335

THE INDEPENDENT SECTOR AND STATEWIDE PLANNING FOR HIGHER EDUCATION SOME POLICY CONSIDERATIONS FOR THE 1980's

by

Gerald H. Lunney

and

Eric D. Watters

Copyright © 1980 by
Council of Independent Kentucky Colleges and Universities

MEMBERSHIP
COUNCIL OF INDEPENDENT KENTUCKY COLLEGES AND UNIVERSITIES

Dr. Jerry C. Davis, President, Alice Lloyd College, Pippa Passes, Kentucky 41844
Dr. Dennis F. Kinlaw, President, Asbury College, Wilmore, Kentucky 40390
Dr. Eugene V. Petrik, President, Bellarmine College, Louisville, Kentucky 40205
Dr. Willis D. Weatherford, President, Berea College, Berea, Kentucky 40404
Sister George Ann Cecil, President, Brescia College, Owensboro, Kentucky 42301
Dr. W. R. Davenport, President, Campbellsville College, Campbellsville, Kentucky 42718
Dr. Thomas A. Spragens, President, Centre College, Danville, Kentucky 40422
Dr. James M. Boswell, President, Cumberland College, Williamsburg, Kentucky 40769
Dr. Ben M. Elrod, President, Georgetown College, Georgetown, Kentucky 40324
Dr. Luther W. White, III, President, Kentucky Wesleyan College Owensboro, Kentucky 42301
Dr. Troy R. Eslinger, President, Lees Junior College, Jackson, Kentucky 41339
Dr. John B. Begley, President, Lindsey Wilson College, Columbia, Kentucky 42728
Dr. Nelson M. Hoffman, Jr., President, Midway College, Midway, Kentucky 40347
Dr. Jackson O. Hall, President, Pikeville College, Pikeville, Kentucky 41501
Sister Catherine Mahady, President, St. Catharine College, St. Catharine, Kentucky 40061
Sister Eileen M. Egan, President, Spalding College, Louisville, Kentucky 40203
Dr. Earl F. Hays, President, Sue Bennett College, London, Kentucky 40741
Dr. Robert J. Giroux, President, Thomas More College, Ft. Mitchell, Kentucky 41017
Dr. William W. Kelly, President, Transylvania University, Lexington, Kentucky 40508
Dr. Mahlon A. Miller, President, Union College, Barbourville, Kentucky 40906

KENTUCKY FORD FOUNDATION PROJECT
December, 1977 -- December, 1979

NATIONAL PANEL

Robert C. Bowie, Vice President for Finance and Management Systems, Johns Hopkins University
Virginia Fadil, Director of Research, National Institute for Independent Colleges and Universities
Hans Jenny, Vice President for Finance, Business and Budgeting, College of Wooster
Larry Litten, Director of Research, Consortium on Financing Higher Education
James Olliver, Director of Research, North Carolina Association of Independent Colleges and Universities

STATE TASK FORCE

Willis Weatherford, President, Berea College, Chairman
Ruth Blackburn, Registrar, Transylvania University
Jonnie Blair, Director of Institutional Planning, Lees Junior College (1978-79)
Barry Dixon, Director of Personnel Services, Centre College
Robert Epley, Assistant to the President, Union College (1977-78)
William Hovenden, Dean, Alice Lloyd College (1977-78)
John O. Kampschaefer, Vice President for Financial Affairs, Bellarmine College
Roger Kusche, Dean, Asbury College (1978-79)
Elinor Starr, Director of Student Financial Aid, Spalding College

PROJECT STAFF

John W. Frazer, Executive Director, CIKCU
Gerald H. Lunney, Director of Research, CIKCU, Project Director
Eric D. Watters, Research Associate

Acknowledgements

The Council of Independent Kentucky Colleges and Universities is deeply grateful to the Ford Foundation and to Dr. Fred Crossland, not only for providing the financial capability to attempt this project, but for the foresight and concern they have displayed in regard to the independent sector of higher education.

The project also owes much to the members of the National Panel for the challenges they put forth and the guidance and support they offered in our quest to address those challenges.

Also to be commended are the efforts of the State Task Force. These individuals contributed insight and expertise, in addition to hard work, that propelled the undertaking and gave it substance.

Our appreciation is extended, in addition, to Mr. John Frazer whose keen understanding of higher education and steady hand in appraising and confronting its matters, served both to encourage and direct the work of the project.

Finally, our thanks go to Audrey Davenport whose tireless typing and patient "proofing" were of invaluable service to the endeavor.

Eric D. Watters
Gerald H. Lunney
January, 1980

Table of Contents

	Page
Introduction	1
Policy Considerations and Recommendations	3
Appendices	
A. Concerns to be covered in a Policy Statement Regarding Data Requests	9
B. The Data Brokerage Function for the State Association	11

Introduction

In the Spring of 1977 the Ford Foundation announced that it had inaugurated a request for proposals from state associations of independent colleges and universities to address issues having policy implications for the associations or their member institutions. The Council of Independent Kentucky Colleges and Universities (CIKCU) was awarded a two-year grant in December 1977 to examine the policy implications of the State Level Information Base (SLIB) project of the National Center for Higher Education Management.

Kentucky, through the Kentucky Council on Higher Education (KCHE), was one of the pilot states in the SLIB Project. Since CIKCU has had a long history of involvement with the KCHE in statewide planning for higher education, the Council watched the development of this project with interest. The original purpose of the SLIB project was to develop a comprehensive and coordinated set of data elements which could serve each state's higher education agency as it developed and expanded its planning activities. The field review edition of the SLIB planning manual was distributed about the same time that the Ford Foundation announced its grant program. In the opinion of the CIKCU staff and others, SLIB at its stage of development in 1977 was not properly sensitive to independent higher education and its concerns for statewide planning.

The project which CIKCU proposed and which the Ford Foundation funded entailed conducting a comprehensive review of SLIB, to study its implications for independent higher education and to develop procedures for including the independent sector in any planning activities which would take place in the states as their higher education agencies implemented SLIB. In addition to staff efforts CIKCU's project involved a national panel of experts who could provide a wide perspective to the project and represent concerns beyond Kentucky and a state task force of practitioners who represented the people who would ultimately be providing the institutional planning data to the state agency.

Many things have occurred since the project began in December of 1977. There has been a major shift in emphasis in SLIB. The final product of that project is not a set of data elements which states could adopt and which would serve as a basis for interstate data sharing. SLIB has evolved into a framework for statewide planning. The emphasis is now on the policy considerations which must be answered in the individual states as each develops its higher education planning activities. The final product helps in these policy considerations and then provides direction as the state proceeds from its response to these questions to implementing a planning system.

The direction of Kentucky's Ford project has also changed. As originally conceived, the stance was defensive. Midway through the project, all concerned reached the conclusion that a pro-active stance would be much more appropriate and beneficial for the independent sector to take in its involvement in statewide planning. The second year of the project has been committed to the development of a model for this pro-active stance, a model in which the state association of independent colleges and universities assumes the function of "broker" for data concerning independent institutions as these institutions become involved in statewide planning.

A detailed description of Kentucky's Ford project entitled The Independent Sector and Statewide Planning for Higher Education: The Data Initiative has been published. To accompany the project report, this paper attempts to distill the policy recommendations developed in the project and present them and supporting material in a brief statement for those whose primary concern is matters of policy.

Policy Considerations and Recommendations

The Council of Independent Kentucky Colleges and Universities undertook the project which led to the recommendations described in this paper because of a strong conviction that independent colleges and universities must be involved with statewide planning for higher education. If anything, that conviction has been further strengthened during the life of the project. This has come not only from the thoughts of the National Panel, the work of the State Task Force or the efforts of the staff, but from external forces as well.

Recent economic trends and the realities of demography over the next several years are two of these forces. The pressures on higher education in general and on the state higher education agencies (Coordinating Boards, Planning Councils, etc.) in particular will be enormous. In most states, the public sector is by far the greater part of higher education. For this reason, as well as the concerns related to the expenditure of public monies, most of these agencies' time and energy will be spent on planning for the state-supported institutions. Relations between state agencies and independent institutions range from active cooperation through benign neglect to open hostility. Even in the most positive situations, however, the pressures will militate against must planning involving independent colleges and universities.

These realities lead to the basic conclusion reached by the parties who worked on this project:

> Independent colleges and universities, through their state associations, must develop data analysis and planning capacity which is free standing from governmental agencies.

With this capacity the independent sector will, at the very least, have a constant reminder for the state agency of its responsibility to include all institutions in its planning activity. In states where cooperation has taken place, the state agency may simply include the results of the state association's efforts in regularly published planning reports. In those states where the state agency disregards the independent sector in its efforts, adequate data analysis and planning by the sector will provide vital information to those other audiences who have a stake in the directions in which higher education will move over the next several years.

This conclusion is so important that the development of the data analysis and planning capacity must be rapid, efficient and effective. The following policy recommendations are made to foster this development.

Data Coordination: The involvement of the independent sector in state planning must itself be planned. The process, degree and nature of involvement must be spelled out. Most of the involvement will entail the provision of data and information. Appendix A lists some concerns which should be considered in determining this involvement. Of special note is the fact that governmental agencies gather and compile data which could be useful to institutions. Examples of such data are economic, employment and census statistics. The state agency could serve a valuable function as a conduit of governmental data to both public and independent institutions. In addition to being well planned, the involvement of the independent sector must be stated as policy. Working relationships between

agency and association staffs and the institutions are vital for effective planning, but written policy is needed to insulate the relationship from changes in personnel. What seems most feasible is a statement with which all parties can agree.

> Recommendation #1. A policy document describing the relationship between independent higher education and the state higher education planning agency should be developed and approved by the policy boards of both the state agency and the state association of independent colleges and universities.

Data Criteria: The proliferation of data requests from a myriad of sources, and the institution's recurring dilemma of wanting and needing to participate in a wide range of studies but having to recognize the realities of such participation (high cost, limited personnel, etc.), prompt the need for assurance that meaningful information can be provided without too great an expense or burden to the independent institution.

> Recommendation #2. In determining what information and data elements concerning independent colleges and universities should be provided to state agencies, and to assure that the benefits to the institutions will be commensurate with the cost of their provision, the state agency should frame its requests and the independent institutions weigh such requests according to the following criteria:
>
> a) The only data that should be provided are data for planning.
> b) Data definitions should be in terms of institutionally useful data.
> c) Only data for which there is a currently demonstrated need should be provided.

The Brokerage Function: A key element to the successful involvement of independent institutions in statewide planning is a point of focus within the independent sector which can facilitate the gathering of data from the schools while insulating them from unreasonable data demands and which can, because of that focus, be aware of the policy implications of

data requests while being sensitive to the overall planning process. This data brokerage function, described in detail in Appendix B is a natural extension of the current role of the state association of independent colleges and universities. In fact, this recommendation is the primary recommendation in this report and flows directly from the conclusion which was reached in this project.

> Recommendation #3 The state association should serve as a broker for data concerning independent higher education. The brokerage responsibility would function, not only as a means of implementing and affirming the independent institutions' relationship with the state agency and other external agencies, but would also facilitate self-initiated planning activities among the independent institutions.

Two other recommendations were developed in the project. These recommendations are more operational in nature. They are:

> Recommendation #4. In order to meet its data brokerage responsibility the state association must establish a mechanism to utilize the expertise and experience of the institutions to guide and direct the association's data analysis and planning activities.

> Recommendation #5. The projects undertaken in fulfillment of the brokerage function, by whatever mechanism is established to implement that function, should be based on currently gathered data, if possible. Only when an area of concern falls outside of any current survey's information potential should a different form be selected or developed.

A brief companion paper has been prepared which contains suggestions for developing the data brokerage capability which is recommended in this report. This paper is entitled The Independent Sector and Statewide Planning for Higher Education: Suggestions for Implementing the Data Brokerage Function in the State Association. Its suggestions are based on the structure of CIKCU and experience in Kentucky but these suggestions should be adaptable to other states.

APPENDICES

Appendix A

Concerns to be Covered in a Policy Statement Regarding Data Requests

1) The role of independent colleges and universities in statewide planning.

2) The place of the state association in the planning process.

3) The provisions for policy review of data requests.

4) The coordination of governmental data requests through the state agency.

5) The procedure by which the state agency can provide the independent sector with data and information which resides in governmental agencies.

6) The determination of ways to minimize the burden on institutional time and resources entailed in meeting governmental data requests.

7) The specification of the list and form of the data elements which the state agency will need so that the independent sector can be included in statewide planning.

Appendix B

The Data Brokerage Function for the State Association

The importance of the data brokerage role for the state association rests in the power of joint, cooperative action. In most states, each independent college is small. Considered together, however, the independent institutions represent a large entity within a state's higher education community; larger than many of the state institutions. Singly, an institution would be reluctant to disregard a data request from a governmental agency. Singly, an institution would have difficulty shaping the nature and form of that request. Singly, an institution might not have the resources to conduct comprehensive institutional research; even if it did it would not have a context for judging its data. Singly, institutions spend too much time responding to data requests. Together, the institutions can develop a group response to a data request. Together, they can work to shape the nature and form of the request. Together, by pooling resources, they can conduct institutional research and obtain data from sister institutions which provide a context for self-evaluation. Together the institutions could form a data base which could serve as a source of information for the multitude of persons who request data from them. A logical place for the management of this cooperative action is the state association of independent colleges and universities. The data brokerage function is a translation into the area of data analysis and planning of the rationale which led originally to the formation of the state associations.

The number of survey forms which reach the various offices of a college campus is monumental. Institutional time and resources must

be used to complete the forms, scarce resources that the institution needs for other purposes. The good will and accuracy with which the forms are completed varies from person to person and time to time depending on a variety of circumstances. In addition, the information gathered in a survey might be damaging to an institution if it is misused or put in an improper context. One part of the data brokerage function is to develop an awareness on the part of the association staff of the various surveys and questionnaires which go to colleges. By knowing the nature of these data requests, advice can be given to the individual institutions concerning the policy implications, importance and duplication of various surveys and questionnaires. The advisory nature of the data brokerage activity must be emphasized. The establishment of the state association as a data broker should not reduce the institution's freedom or responsibility in the area of data analysis and planning. The purpose of the brokerage function is to provide services to the institutions which they could not obtain individually. The use of the services is always at the discretion of the institutions.

Once the awareness of the nature of data requests is developed, the association, as data broker, can begin to negotiate the form and content of the requests so that duplication is eliminated and the questionnaires are as easy as possible for the institutions to complete. The association could also begin to review new requests, testing them in the area of policy implications, importance and duplication.

The most important element of the data brokerage function is the facilitation of cooperatively initiated surveys and research projects.

These projects will provide the colleges with institutional and comparative planning data. Cooperative efforts could be more cost effective than individual efforts. As the information from these surveys and projects is gathered, the state association will develop a data base concerning the institutions. In time, this data base could serve as the principal source of information for many people who currently inundate individual institutions with data requests. Of great importance is the fact that the self-initiated studies might eliminate or affect the character of external surveys and questionnaires. If the institutions have collectively studied an area of general concern, they will be in a position of being able to provide information about that area in a form of their own choosing rather than having to fill out another questionnaire.

A last, and significant, point is that the institutions, through the state association, will be able to provide information and not merely data to interested external parties. A major concern in providing data to various requesters is the potential for misinterpretation and misuse. By providing some analysis, sensitive data can be presented in aggregated form without drawing unwarranted attention to any one institution. The financial "softness" of the sector can be demonstrated without listing the condition of any given school.

Individual associations, just as individual institutions, will respond to the role of data broker in different ways. This is part of the genius of the independent sector of higher education. Whatever the response, it seems time to consider the role of data broker as the next step in the development of the state association of independent colleges and universities.